



# First Program Year CAPER

The CPMP First Consolidated Annual Performance and Evaluation Report includes Narrative Responses to CAPER questions that CDBG, HOME, HOPWA, and ESG grantees must respond to each year in order to be compliant with the Consolidated Planning Regulations. The Executive Summary narratives are optional.

The grantee must submit an updated Financial Summary Report (PR26).

## GENERAL

### **Executive Summary**

The Consolidated Annual Performance and Evaluation Report (CAPER) is an annual performance and evaluation report required by the U.S. Department of Housing and Urban Development Department (HUD). The report for FY 04/05 identifies the level of progress and accomplishments in meeting the priorities (goals) and objectives of the grantee's First Program Year Action Plan of the 2004-2009 Five Year Consolidated Plan (Con Plan). To the degree feasible, the data collection efforts required by the CAPER reflect information for housing and community development projects that occurred in Round Rock.

The CAPER also reflects information from the federal entitlement that the City receives from HUD on an annual basis. For Fiscal Year (FY) 2004/05, \$389,436 in City housing and community development expenditures came from the Community Development Block Grant (CDBG) Program.

Additionally, the CAPER, reflects the accomplishments and leverage of resources from non-City HUD funds. Using City HUD funds, over \$1.2 million was leveraged in the last reporting period (leverage ratio is about 2.5 to 1).

In order to receive HUD entitlement funds, the City annually submits a one-year Action Plan (proposed projects) and federal certifications. The Action Plan is developed in accordance with the City's Citizen Participation Plan. After submission, projects are implemented in accordance with the approved one-year budget and certifications. An annual report card, the CAPER, is submitted to HUD after a fifteen-day review period that has been publicized.

The City has identified priorities in housing, community development, and economic development. Within each of these categories are specific priority needs. The following Project Summary Table summarizes those priorities with the 2004/05 accomplishments.

Reports that must be made available to the public follow as exhibits:

- Exhibit A: CDBG Activity Summary Report for Program Year 2004 (CO4PR03)
- Exhibit B: Summary of Consolidated Plan Projects for Report Year 2004 (CO4PR06)
- Exhibit C: Program Year 2004 Summary of Accomplishments (CO4PR23)
- Exhibit D: CDBG Financial Summary (CO4PR26)

These reports detail all activities funded in program year 2004, including prior year monies spent in fiscal year 2004.

Community needs identified in the Con Plan are being addressed and the majority of our strategic planning objectives have been met. This is the first reporting year for Con Plan 2004-09.

Two significant Consolidated Plan amendments occurred in this program year.

### **Amendment 1: Minor Home Repair Program funding increase**

On August 18, 2005, the Community Development Advisory Commission voted unanimously to recommend increasing the maximum award for the Minor Home Repair Program to \$15,000 and reallocate program funds for this purpose. This is considered a substantial program amendment and requires a thirty (30) day comment period, as specified in the City of Round Rock Community Development Citizen Participation Plan. Notice was posted in three locations August 23, 2005 for a period of 30 days.

This is the second change to the Minor Home Repair Program. The first program change increased application awards from \$5,000 to \$10,000 and became effective on February 17, 2005 after the Notice to the Public of 30 Day Comment Period, posted January 18, 2005, expired.

Reallocation of Funds:

Program	Program Year	Original Program Funding	Plus or Minus	New Program Funding
HOAP	2004-2005	\$90,550	(\$70,000)	\$20,550
Minor Home Repair	2004-2005	\$100,000	+\$70,000	\$170,000

### **Amendment 2: Emergency Assistance for Hurricane Katrina Evacuees**

Disbursements related to Hurricane Katrina resulted in 25.07% of grant funds obligated to public service activities. The following information is taken from the "Notice to the Public of 3-Day Comment Period Consolidated Plan Amendment" that was posted September 9, 2005.:

**[Purpose]:** Reallocate Program Year 2002 funds from Land Acquisition to Public Services.

**Amount:** \$49,355

**Justification:**

Due to the impact of Hurricane Katrina, inhabitants along the Gulf Coast in Alabama, Mississippi and Louisiana have been forced to abandon their homes and seek shelter in other communities and in other states. The City of Round Rock has proposed the use of CDBG funds to pay costs associated with services for this population. Most of these costs, such as the provision of food, temporary shelter and related services, are eligible CDBG expenditures under the public services provision of section

105(a)(8) of the Housing and Community Development Act of 1974, as amended (the Act).

**Authority to Waive 30 Day Comment Period:**

The U.S. Department of Housing and Urban Development cannot waive the statutory requirement for a public comment period but can provide significant relief from the 30 day standard established through 24 CFR 91.105. HUD has determined that a minimum three (3) calendar day public comment period would be acceptable given the circumstances. Given the immediate need to address the expenses associated with this influx of individuals, the Assistant Secretary for Community Planning and Development, US Department of Housing and Urban Development, Washington DC, finds that there is good cause pursuant to 24 CFR 91.600 to waive the 30 day public comment standard of 24 CFR 91.105(c)(2) and institute a minimum three (3) day comment period. The relief granted by this waiver will be available through November 30, 2005 to grantees solely for activities related to Hurricane Katrina assistance efforts.

**Authority to Waive CDBG Public Service Expenditure Cap:**

Section 122 of the Act provides the Secretary with the authority to suspend requirements of the Act in order to assist CDBG grantees in addressing the damage in an area for which the President has issued a federal disaster declaration. The damage attributable to Hurricane Katrina has been so great and widespread that it has caused an exodus from the declared disaster areas. This populace has moved into other communities and states in an effort to find the basic necessities of life, including shelter and sustenance. CDBG grantees are seeking to address these needs and have contacted the Department seeking relief from the CDBG public services cap in order to utilize CDBG funds to cover expenses related to servicing this population. In this instance, addressing the damage caused by the federally-declared disaster involves addressing the needs of population displaced by the disaster. The Secretary states that there is good cause to invoke section 122 of the Act and suspend the provision of section 105(a)(8) of the Act imposing upon CDBG grantees a fifteen (15) percent cap on public service expenditures. This suspension shall be available to the CDBG grantees only for purposes related to Hurricane Katrina assistance efforts. The relief granted by this suspension shall enable grantees to obligate and expend amounts in excess of their individual public services caps for activities and purposes related to Hurricane Katrina assistance efforts provided amounts so obligated and expended shall be documented to be for assistance related to Hurricane Katrina assistance efforts.]

**Assessment of the one-year goals and objectives:**

**Definitions:**

Code	HUD Matrix Code
Code 03	Public Facilities and Improvements
Code 03F	Neighborhood Facilities
Code 05	Public Services (General)
Code 05A	Public Services (Elderly)
Code 05D	Public Services (Youth)
Code 05E	Public Services (Transportation)
Code 05M	Public Services (Medical)
Code 13	Direct Home Ownership
Code 14A	Single Family Housing Rehabilitation
Code 21A	Planning and Administration
ID	Project identification used in Integrated Disbursement Information System (IDIS)
LMA	Low-Mod Area Benefit
LMC	Low-Mod Limited Clientele
LMH	Low-Mod Housing
Nat'l Obj	National Objective. Every activity must tie to one of 3 National Objectives: (1) Benefit low & moderate income persons; (2) Create or retain jobs; (3) Prevent slum or blight
Priority	Community needs priority.
URG	Urgent need (requires approval from HUD)

**Table 1**  
**2004-05 Goals and Objectives**

ID	Code	Nat'l Obj	Priority	Project	Goal	Goal %	Funded	Drwn in PY
01	21A	N/A	High	Program Admin	Compliance	100%	\$89,400	\$89,344
02	13	LMH	High	HOAP <sup>1</sup>	4 Homes Purchased by 1 <sup>st</sup> time homeowners	100%	\$28,968	\$9,295
03	14A	LMH	High	Home Repair <sup>2</sup>	20 Homes Rehab	0%	\$170,000	-0-
04	03F	LMA	High	Greenhill Park	1 Park Redeveloped	75%	\$55,000	\$939
05	03	LMC	High	Crisis Center <sup>3</sup>	Security/Safety System	100%	\$10,000	-0-
06	03	LMC	High	Serving Center	Rehab Food Pantry (bricks)	75%	\$35,000	-0-
07	05	LMC	High	CHIP	500 re-enrollments	100%	\$7,500	\$7,500
08	05M	LMC	High	20/20 Optical	25 persons	100%	\$2,500	\$2,500
09	05M	LMC	High	Acute Dental	40 persons	100%	\$8,000	\$7,280
10	05D	LMC	High	Youth Scholarships	145 children	100%	\$14,550	\$14,550
11	05O	LMC	High	MHMR <sup>4</sup>	40 children	0%	\$6,000	-0-
12	05A	LMC	High	Elderly	60 elderly	100%	\$8,500	\$8,500
13	05E	LMC	High	Transportation	420 trips	100%	\$7,000	\$7,000
14	05D	LMC	High	Coats for Kids	150 coats	100%	\$3,000	\$3,000
15	05A	LMC	High	Geriatric Music Therapy	20 elderly	100%	\$10,000	\$10,000
							\$447,000	\$159,908

<sup>1</sup> \$70,000 was reallocated from HOAP to Minor Home Repair in anticipation of increased rehabilitation costs. A thirty day comment period was posted and no citizen comments were received.

<sup>2</sup> Original funding increased from \$100,000 to \$170,000 after thirty day comment period.

<sup>3</sup> This activity completed in PY 2004 and billed in October, 2005. Balance is zero.

<sup>4</sup> This funding was reallocated for PY 2005 public service funding.

**Table 2**  
**Disbursements on Prior Year Projects**  
**PY 2004-05**

ID	P Yr	Nat'l Obj	Priori ty	Project	Goal	Goal %	Committ ed	Drwn in PY 2004	Project Balance
06	2003	LMA	High	Landscape Site Amenities	Downtown business / residential areas improvements	100%	\$75,076	\$13,090	\$33,157
07	2003	LMH	High	Minor Home Repair <sup>5</sup>	Rehab 8 homes	25%	\$24,960	\$12,888	\$2,183
22	2003	LMA	High	Sidewalks <sup>6</sup>		100%	\$47,178	\$47,178	-0-
15	2003	LMH	High	HOAP <sup>7</sup>	8 Closing for 1 <sup>st</sup> time home buyers	100%	\$100,507	\$35,953	-0-
19	2003	LMA	High	Kiddo Card	500 Children	100%	\$2,815	52.24	-0-
10	2003	LMC	High	Transportation. Vouchers <sup>8</sup>	100 persons	25%	\$5,014	-0-	\$3,945
06	2002	LMA	High	Buck Egger Park Phase 2 <sup>9</sup>	Park rede-velopment	100%	\$104,215	\$66,875	\$28,853
07	2002	LMH	High	Land Acquisition <sup>10</sup>	Build 2 homes	0%	\$50,000	\$49,355	-0-
14	2002	URG	High	Housing Vouchers	20 emergency vouchers for displaced evacuees	100%	\$40,000	\$40,000	-0-
16	2002	URG	High	Hurricane Katrina Nursing Home Resource <sup>11</sup>	Medical assistance for displaced evacuee	100%	\$4,355	\$4,355	-0-
09	1999	LMA	High	Sidewalks		100%	\$135,400	\$6,472	-0-

<sup>5</sup> Funds drawn are for legal fees related to program development. Program is underway.

<sup>6</sup> This activity is closed and these are unliquidated funds to be reprogrammed in 2006-07 or sooner as needed.

<sup>7</sup> These are unliquidated funds to be reprogrammed in 2006-07 or sooner as needed.

<sup>8</sup> This program is still underway. Any unliquidated funds remaining at the end of program year 06-07 will be reprogrammed.

<sup>9</sup> This program is still underway. Any unliquidated funds remaining at the end of program year 06-07 will be reprogrammed.

<sup>10</sup> This money was reprogrammed to Hurricane Katrina related public service activities (emergency housing vouchers, transportation, food pantry, and nursing home needs)

<sup>11</sup> These funds were issued to Trinity Care Nursing Home in October, 2005.

### **Development of Local Performance Measurement Systems**

The City of Round Rock currently measures productivity and program impact on all activities funded by block grant money. The method used at this time contains elements of performance measurement outputs required at 24 CFR Part 91, and currently the City has no schedule developed for adding additional performance indicators.

## **Managing the Process**

### **ENSURE COMPLIANCE WITH PROGRAM REQUIREMENTS**

Staff has developed written procedures for monitoring all programs. In addition to written procedures, the Legal Department has dedicated one attorney to work with staff on compliance issues, and the City's independent auditing firm has dedicated one auditor to oversee the block grant program. The Finance Department has added additional staff to work with the Office of Community Development. Training in various program components will be obtained when available.

## **Citizen Participation**

### **CITIZEN COMMENTS**

Public hearings on the CAPER were held by City Council on December 15, 2005. No public testimony was received. Notice of the public hearing was published in the Round Rock Leader on Thursday, November 10, 2005. (Exhibit F)

Survey comments on community needs received during development of Action Plan development process are included under Exhibit F.

1. In addition, the performance report provided to citizens must identify the Federal funds made available for furthering the objectives of the Consolidated Plan. For each formula grant program, the grantee shall identify the total amount of funds available (including estimated program income), the total amount of funds committed during the reporting period, the total amount expended during the reporting period, and the geographic distribution and location of expenditures. Jurisdictions are encouraged to include maps in describing the geographic distribution and location of investment (including areas of minority concentration). The geographic distribution and expenditure requirement may also be satisfied by specifying the census tracts where expenditures were concentrated.

The City of Round Rock receives only one formula grant program, Community Development Block Grant (CDBG). The total amount of CDBG funds available for program year 2004-2005 were \$447,000.

## **Institutional Structure**

Effective implementation of the Consolidated Plan involves a variety of agencies. Coordination and collaboration between agencies is important to ensuring that the

needs in the community are addressed. The key agencies that are involved in the implementation of the Plan as well as additional resources are described below.

## **Public Sector**

### ***City of Round Rock, Office of Community Development***

The Office of Community Development is responsible for the administration of the City's programs funded by CDBG money. This office has primary responsibility for managing and implementing the City's affordable housing programs, the Consolidated Plan programs, and related documents.

Other city departments also involved in providing services include Code Enforcement, Parks and Recreation Department, and the Public Works Department.

### ***Williamson County and Cities Health District (WCCHD)***

WCCHD offers a variety of services to Round Rock and Williamson County residents, including:

- Alcohol and Drug Services
- Children's Services
- Family Assistance
- Public Health Services
- Senior Services
- Emergency Services

### ***Round Rock Housing Authority***

The Round Rock Housing Authority administers the Housing Choice (Section 8) Voucher Program. The City works in close consultation with the Housing Authority regarding public housing issues in Round Rock.

The Round Rock Development Cooperation is a 501(c)(3) non-profit organization established by the Housing Authority for the purpose of purchasing and developing affordable housing.

## **Non-Profit Agencies**

No community development organizations that construct housing for target income households or provide rehabilitations services are located in the City. However, some are located in Austin which is close proximity to Round Rock.

## **Private Sector**

The private sector is an important collaborator in the services and programs associated with the Consolidated Plan and Annual Action Plan. The private sector brings additional resources and expertise that can be used to supplement existing services or fill gaps in the system.

Lenders, affordable housing developers, business and economic development organizations, and private sector providers offer a variety of assistance to residents such as health care, small business assistance, home loan programs, and assisted



housing, among others. Some of these organizations include the Round Rock Development Corporation which has been active in purchasing affordable housing and the Small Business Development Center which provides resources to local and start up businesses.

### **Coordination**

The City is committed to continuing its participation and coordination with federal, state, county, and local agencies, as well as with the private and non-profit sector, to serve the needs of target income individuals and families in the community. Round Rock worked closely with Austin, FEMA, and local agencies to provide emergency housing and other services to evacuees of Hurricane Katrina who were relocated into the Central Texas area. This was a massive coordination project involving thousands of displaced evacuees, and many have chosen to remain in the area which now requires strategic planning for the impact on services, resources, and affordable housing. The dynamics of urban sustainability have been greatly influenced by the sudden increase in population, most of which is the very low income from New Orleans. Round Rock will continue to work with federal, state, county, and local agencies, as well as with the private and non-profit sector to serve the needs of target income individuals and families in the community.

### **Monitoring**

The City of Round Rock has developed a monitoring system to ensure that the activities carried out in the Plan are done so in a timely manner in accordance with the federal monitoring requirements of 24 CFR 570.501(V) and 24 CFR 85.40 and all other applicable laws, regulations, policies, and sound management and accounting practices. The objectives of monitoring are:

- To assure that subrecipients are carrying out their program/project as described;
- To assure that subrecipients are implementing the program/project in a timely manner;
- To assure that subrecipients are assessing costs to the program/ project which are eligible under CDBG regulations and the contract;
- To assure that subrecipients are conforming with other applicable laws, regulations, and terms of the agreement;
- To assure that the program/project is operating in a manner that minimizes the opportunity for fraud, waste, and mismanagement;
- To assure that subrecipients have the capacity to carry out the approved project/ project;
- To assure that subrecipients are carrying out their program/project as described.

Subrecipients are required to submit with their requests for reimbursement, as applicable, copies of paid receipts, timesheets, income documentation, client data, and self-certification forms. This information is required for counting unduplicated beneficiaries. Quarterly reports are submitted by each subrecipient so staff can monitor the progress of each activity and provide technical assistance or consultation when needed to ensure that all objectives are met.

New subrecipients are considered high risk due to program inexperience. The Office of Community Development works closely with a new subrecipient, providing technical assistance as often as necessary. Desk monitoring (phone calls/checklist) was conducted with each agency several times during the fiscal year. On-site monitoring was conducted with Children's Support Coalition, Round Rock Area Serving Center, the Round Rock Housing Authority, and the City of Round Rock Parks and Recreation Department. However, the Office of Community Development maintains an open door policy for all agencies and frequent unofficial visits are made participating agencies through the year.

## HOUSING

### Fair Housing

Analysis of Impediments to Fair Housing, Round Rock, Texas  
Consultants from the University of Texas compiled and analyzed housing data. This study provided a comprehensive review of the City's administrative and judicial policies. An assessment of the affect location, availability, and accessibility of housing was made that will assist in future planning to address impediments to fair and affordable housing. The analysis profiled the housing market in Round Rock, identifying the local market and addressed housing affordability, physical condition of housing stock, public housing. Barriers and impediments to affordable housing identified through the city's citizen participation process were:

1. Lack of options
2. Lack of transitional support, assistance needed for move-in costs/deposits
3. Land prices
4. Lack of community involvement and creativity in problem-solving
5. Real estate professionals and other members of the community who influence the market and keep housing costs high
6. Lack of community awareness
7. Negative neighborhood perceptions regarding low income housing
8. Resistance from school districts
9. Inadequate job training with respect to jobs available in Round Rock
10. Lack of public transportation
11. Lack of education/illiteracy
12. HUD regulations requiring public housing to be administered in the same manner as private facility; reduction in HUD funding for public housing.

Efforts have been made to remedy some of the barriers. Examples of how block grant money has been used are:

- Financial assistance for first time homebuyers with down payment and closing costs;
- Financial assistance for minor home repairs;
- Transportation vouchers;
- Job training in the technology market;
- Homeownership information fairs;
- Community needs surveys;
- Facilitation of public meetings

In addition, the City supports through its general fund the Literacy Council of Williamson County.

## **Other Actions**

### **FOSTER AND MAINTAIN AFFORDABLE HOUSING**

Seventeen families applied to the city's Minor Home Repair Program. All properties were evaluated for potential rehabilitation, but only eight were selected. Three properties required total replacement. The program began as a maximum \$5,000 grant, but was quickly upgraded to \$10,000 and finally \$15,000. An additional \$70,000 was reprogrammed from HOAP (Home Ownership Assistance Program) to the rehab program so more repairs could be done on each home. Target neighborhoods will benefit from this program in the future. Currently, the rehab program is a city wide project, but an aggressive marketing strategy is being developed to reach specific pocket areas of substandard housing.

## **Public Housing Strategy**

The City of Round Rock and the Housing Authority are working in partnership identifying properties that could potentially be sold or donated to the Housing Authority for development of more elderly housing. Additionally, the Round Rock Housing Authority began a program in 2003-04 to identify Section 8 voucher recipients who are good candidates for home ownership. Families participating in core homeownership counseling and financial fitness counseling provided by a team of industry experts and the Office of Community Development will have access to financial resources that will ultimately lead to home ownership.

The Round Rock Housing Authority was given \$40,000 in reprogrammed CDBG funds to assist displaced hurricane evacuees from Louisiana. Temporary housing vouchers were issued to at least twenty families. Some families plan to remain in Round Rock, others have since moved to other locations.

## **Barriers to Affordable Housing**

Round Rock is committed to creating diverse housing opportunities and ensures the availability and affordability of a variety of housing for all Round Rock citizens, including the young, elderly, singles, families, and citizens with special needs by implementing actions. These actions include continuing the down payment assistance program for low to moderate income families, purchasing land for the development of affordable housing, and collaborating with the development community and public housing to build affordable elderly housing.

## **HOME/ American Dream Down Payment Initiative (ADDI)**

Round Rock does not receive HOME or ADDI funds at this time.

## HOMELESS

### **Homeless Needs**

Homeless needs are being addressed on a regional basis with coordinated services and shelters provided by agencies located in Austin, Texas. Fifteen campuses in the Round Rock Independent School District had homeless children attending classes in 2004/2005. Many of these children came from shelters located in south Austin. Some came from the Texas Baptist Children's Home, and others from the Williamson County Crisis Center in Round Rock.

### **Specific Homeless Prevention Elements**

Ending Chronic Homelessness Organization (ECHO) is a 501 (c)(3) that is charged with addressing the systemic problems that lead to poverty and homelessness. This organization is taking a regional approach to the problem with a network of services and housing. Round Rock will become part of the ECHO continuum of care system. A potential \$180,000 was available in 2004 through HUD Supportive Housing Funding for Round Rock and Williamson County. Austin and Travis County received \$4.3M from this source. By including Round Rock and Williamson County in their services, additional funding received will be used specifically to house residents coming into their system from our area.

### **Emergency Shelter Grants (ESG)**

Round Rock does not have any Emergency Shelter Grants

## COMMUNITY DEVELOPMENT

### **Community Development**

Refer to Table 1 on page 5 and Table 2 on page 6.

### **Antipoverty Strategy**

The Office of Community Development meets monthly with local public service agencies to discuss community needs. Representatives from the Texas Workforce Center, the Round Rock Housing Authority, the Georgetown Housing Authority, and the Literacy Council of Williamson County regularly attend these meetings. A total of 31 agencies meet throughout the year and participate in various task forces, such as our local Homeless Initiative Task Force.

## NON-HOMELESS SPECIAL NEEDS

### Non-homeless Special Needs

#### ***Williamson County and Cities Health District (WCCHD)***

WCCHD offers a variety of services to Round Rock and Williamson County residents, including:

- Alcohol and Drug Services
- Children's Services
- Family Assistance
- Public Health Services
- Senior Services
- Emergency Services

***Williamson Burnet Counties Opportunities (WBCO)*** provides adult day services.

***Kensington Cottages*** provides beds and medical services for Alzheimer patients.

***TriSun (formerly Trinity Care Nursing Home)*** provides assisted living and nursing home care.

***Interfaith Alliance*** provides in home care for HIV/AIDS patients.

### Specific HOPWA Objectives

Round Rock does not receive HOPWA funding. The number of HIV/AIDS persons identified for this area is very low.

## OTHER NARRATIVE

### Lead-based Paint

The Minor Home Repair program under development has procedures in compliance with the Residential Lead Based Paint Hazard Reduction Act of 1992 (Title X) and subsequent changes in September, 1999. These procedures include notification, identification, and treatment (if necessary).

Most of the development in Round Rock occurred after the use of lead-based paint was banned; however, two homes scheduled for minor rehabilitation may have lead based paint. Initial evaluations have been conducted, but the construction on these homes will not occur until the 2005-2006 program year. A consultant has been retained to monitor the lead based paint procedures on these properties.

**Exhibit A**

CDBG Activity Summary Report for Program Year 2004  
(CO4PR03)

**Exhibit B**

Summary of Consolidated Plan Projects for Report Year 2004  
(CO4PR06)

**Exhibit C**

Program Year 2004 Summary of Accomplishments  
(CO4PR23)



**Exhibit D**

CDBG Financial Summary  
(CO4PR26)

**Exhibit E**

Notices to the Public  
Comment Periods for Consolidated Plan Amendments

**Exhibit F**

CAPER Notice of Public Hearing  
And Comment Period